



FEDERAL BUREAU OF INVESTIGATION

Date of entry 05/02/2018

CHRISTOPHER COLLINS (COLLINS), date of birth (DOB) [REDACTED],
 cellular telephone [REDACTED] home address [REDACTED],
 [REDACTED], was interviewed at his residence. After being advised of the identities of the interviewing Agents and the nature of the interview, COLLINS provided the following information:

COLLINS confirmed that he was represented by legal counsel during an investigation by the Office of Congressional Ethics but that he was not represented for any other matters. COLLINS was not represented regarding the sale of INNATE IMMUNOTHERAPEUTICS (INNMF), as COLLINS had not sold any of his shares of INNMF.

COLLINS has been associated with INNMF since approximately 2005 and was on the board of the company. COLLINS was the largest shareholder of INNMF and held approximately 28,000,000 shares, that he had purchased during a private placement.

INNMF had acquired AMPLIA THERAPEUTICS (AMPLIA) on April 24, 2018. The acquisition of AMPLIA restarted cancer trial research of two molecules for the company. The acquisition was completed with 400,000,000 shares that were put through a reverse split to 40,000,000 shares, to which COLLINS then owned nine percent of INNMF. After the purchase was completed COLLINS left the board of INNMF.

The clinical trial for a multiple sclerosis drug produced by INNMF was conducted as a double blind trial. INNMF and the doctors that were a part of the trial did not know which patients were using the drug. There were 93 patients as a part of the trial. The last patient started the trial in April of 2016 and completed the trial in April of 2017. A third-party company did a review at the completion of the trial and presented the results to INNMF.

COLLINS was informed of the trial results during a board call on a Thursday night. COLLINS believed all members of the board were on the call, but could specifically remember FNU WILKINSON, FNU QUINN, ANDREW LNU the secretary, and the chief science person. COLLINS described the trial

Investigation on 04/25/2018 at Washington, District Of Columbia, United States (In Person)

File # [REDACTED] Date drafted 04/29/2018

by BITTERMAN MATTHEW EDWARD, SCHILL KRISTEN

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results as "shocking news" and that nobody saw it coming. COLLINS did not believe he ever received an email detailing the trial results.

Since INNMF is a publicly traded company in Australia, trading was suspended Friday until market opening on Tuesday. Trading is suspended prior to a major announcement from a company; the announcement could be positive or negative. A public announcement regarding the results of the trial was made Tuesday just prior to the opening of trading. COLLINS could not recall exactly how the press release was worded regarding the trial results on Tuesday morning. INNMF stock dropped from approximately \$0.50 a share to approximately \$0.03 or \$0.04 a share. Trading on the stock was not suspended on markets in the United States. COLLINS had tons of calls from people he knew that held stock in INNMF after the trading was suspended in Australia.

COLLINS first explained that he had not told anyone about the trial results after receiving them on Thursday, but later explained that he had told his wife about the trial results after the call with the board.

COLLINS said that trading for stocks is suspended pending big announcements, whether the news was good or bad.

COLLINS had attempted to move his shares of INNMF from Australia to the United States on multiple occasions. COLLINS attempted to move his shares prior to the completion of the trial because he anticipated the trial going well and would want to sell his shares. COLLINS also attempted to move his shares after the trial. COLLINS could not remember the specific dates he attempted to move his shares. No brokers were willing to take in COLLINS shares. COLLINS believed it was due to the fact that INNMF was a penny stock and that he was a 20% owner of the company. COLLINS was still hoping to move his shares to the United States so he could trade away his shares of the company after the acquisition of AMPLIA and lock in a stock loss.

COLLINS knew approximately 40 or 50 people that held shares of INNMF. COLLINS' son, CAMERON, and his daughter, [REDACTED] both owned shares. CAMERON's fiance LAUREN LNU owned shares. COLLINS' current and former Chiefs of Staff [REDACTED] and [REDACTED] owned shares of INNMF. Neighbors and golfing buddies of COLLINS also owned shares of INNMF. COLLINS explained he was proud of INNMF and talked about the company a lot prior to the trial so people close to him decided to purchase shares based on his excitement.

COLLINS first explained that he did not know anyone that had moved their shares from Australia to the United States, but later explained that CAMERON had moved his shares from Australia to the United States. COLLINS

[REDACTED]

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could not remember when CAMERON moved his shares and believed he was able to move his shares to the United States because he had a different broker than COLLINS tried to use.

CAMERON may hold other stocks, but INNMF was the majority of his stock investments. COLLINS did not believe CAMERON trades very often.

COLLINS speaks to CAMERON daily, often on his cell phone. COLLINS spoke to CAMERON after the conference call regarding the trial results, but didn't remember who called whom. COLLINS never conveyed to his son that he should sell his stock, but did not attempt to talk him out of trading. COLLINS did not tell CAMERON about the trial results, but CAMERON told COLLINS that he was going to trade his shares in the United States. COLLINS knew CAMERON traded on Friday, Monday, and Tuesday in the United States because he was concerned about what was going on with the trading suspension. CAMERON talked about how sophisticated stock blogs generally say that stock suspensions indicate negative news, so CAMERON wanted to hedge against any bad news and take money off the table prior to the announcement. CAMERON traded his remaining shares in Australia when the markets opened on Tuesday.

COLLINS received a lot of phone calls after the stock was suspended and COLLINS explained that an announcement was coming. COLLINS was in shock of the trial results news, but did not believe he explicitly indicated the results of the trials to anyone. COLLINS may have insinuated that the trial results were going to be bad news based on his tone or speech. COLLINS described himself as a transparent person, so he believed that anyone who knew him could tell the results of the trial were going to be bad news based on his demeanor and lack of excitement, especially based on how excited he was before the trial when talking about the stock.

[Agent note: At this point in the interview, SA Bitterman, with SA Schill as a witness, served COLLINS a Grand Jury subpoena issued by the Southern District of New York.]

ZEPTOMETRIX is COLLINS' company, that he became involved with in 1999. ZEPTOMETRIX is not associated with INNMF.

[Agent note: During the interview, COLLINS received a phone call from [REDACTED]. [REDACTED] informed COLLINS that FBI Agents were at his residence, and COLLINS explained that he was currently speaking with FBI Agents and would call [REDACTED] back.]



FEDERAL BUREAU OF INVESTIGATION

Date of entry 05/01/2018**DOCUMENT RESTRICTED TO CASE PARTICIPANTS**

This document contains information that is restricted to case participants.

CAMERON C. COLLINS, date of birth (DOB) [REDACTED] telephone [REDACTED]
 [REDACTED] was interviewed at his residence located at [REDACTED]
 [REDACTED]. After being advised of the identities of the interviewing Agents and the nature of the interview, COLLINS provided the following information:

COLLINS had an engineering background and wanted to start a home automation company. COLLINS was from Clarence, NY.

LAUREN ZARSKY worked at PwC.

COLLINS came to own INNATE IMMUNOTHERAPEUTICS LTD. (INNATE) through his father. COLLINS' father CHRISTOPHER COLLINS was involved with a company named ZEPTOMETRICS. INNATE's predecessor company raised money through the sale of shares of stock so both COLLINS and ZARSKY purchased shares. COLLINS did not know who the initial custodian of the shares he purchased was. AT&T started a Fidelity account for COLLINS and COLLINS transferred his shares to the Fidelity account in approximately late May 2017.

INNATE switched from being based in New Zealand to being based in Australia prior to the initial public offering (IPO). COLLINS shares were not able to be sold on the stock exchange until approximately a week or two before COLLINS sold the INNATE shares.

COLLINS decided it was a good idea to have his INNATE shares held in the United States as INNATE's trials were coming to an end. COLLINS father discussed COLLINS moving his INNATE shares to the United States and suggested COLLINS do so.

COLLINS knew who [REDACTED] was.

[Agent Note: COLLINS was presented with the Stock Transfer Document attached as 1A package to this serial.]

Investigation on 04/25/2018 at Morristown, New Jersey, United States (In Person)

File # [REDACTED] Date drafted 04/26/2018

by Jordan R. Anderson, NICHOLAS ANDERSON

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The signature on the document presented was COLLINS' and COLLINS acknowledged that the document was his. COLLINS did not remember if he was in the Buffalo, New York area when he signed the document. There was a annual garage sale in the Buffalo, New York area around the time the document was signed, so COLLINS may have been in the Buffalo, New York area.

COLLINS did not know if his sister [REDACTED] or his father CHRISTOPHER COLLINS tried to transfer shares, but thought his father tried to do so.

COLLINS sold more than approximately 10% of his INNATE shares. COLLINS wanted to sell approximately \$1 million worth of shares prior to the news regarding the trial became public. INNATE was running a trial and if it went well shareholders would make money, if the trial went poorly shareholders would lose money. "Everyone" knew the INNATE trial was ending and COLLINS thought he would rather have some money rather than none. If COLLINS sold approximately \$1 million of his INNATE stock prior to the announcement of the trial results and the stock went up after the announcement of the trial results the difference in value of his INNATE stock holdings would be approximately \$5 million, which was the difference between \$25 million and \$20 million.

COLLINS had no discussions with his father CHRISTOPHER regarding INNATE's trial results until after COLLINS sold his shares.

COLLINS sold his shares in multiple orders because COLLINS had a large portion of stock and did not want to crash the stock's price. COLLINS had a goal of selling approximately \$1 million but was not able to sell enough shares to reach that goal.

COLLINS purchased a residence in Asbury Park, NJ and began the process of moving, but his residence in Morristown, NJ was his primary residence.

COLLINS canceled his pending McLaren purchase after the news regarding INNATE's trials was released.

ZARSKY owned INNATE shares, but "not a lot". ZARSKY knew about INNATE through COLLINS. COLLINS was not sure if ZARSKY's parents bought INNATE shares, but thought they might have. ZARSKY's parents knew about INNATE.

COLLINS did not know of anyone that purchased INNATE shares because of COLLINS.

The "cause of all this" was the trading halt, which did not sound good. COLLINS was able to trade INNATE shares under a different ticker

[REDACTED]

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after the trading halt. COLLINS found out about the trading halt from online forums, not from his father. COLLINS told ZARSKY's parents about the trading halt, but did not know how many innate shares they owned. The visit to ZARSKY's parents house was not planned. COLLINS and ZARSKY visited ZARSKY's parents often, approximately weekly.

COLLINS talks to his father approximately weekly. COLLINS' father said nothing about the trial results to COLLINS. COLLINS' conversation with his father was about the trading halt. COLLINS asked his father what the trading halt meant. COLLINS' father responded that the trading halt meant there was probably news coming. COLLINS did not learn from his father whether the news or trial results were good or bad. COLLINS said "Maybe he knew about the trading halt and shouldn't have told me or maybe he just told me the trial was over". COLLINS' father did not tell COLLINS to do anything. COLLINS' "main takeaway" from the conversation was the trading halt.

COLLINS had an iPhone X and no longer had an iPhone 7.

[Agent Note: At approximately 6:52am COLLINS voluntarily consented to his iPhone X being imaged onsite by FBI CART.]

COLLINS did not have computers in Asbury Park, NJ and ZARSKY did not own a computer. COLLINS had an iPad and one computer.



FEDERAL BUREAU OF INVESTIGATION

Date of entry 05/02/2018

STEPHEN ZARSKY, born [REDACTED] was interviewed at his place of residence, [REDACTED] his cellular telephone number is [REDACTED]. After being advised of the identity of the interviewing agents and the nature of the interview, ZARSKY provided the following information:

ZARSKY heard about Innate Immunotherapeutics (INNATE) approximately one (1) year ago, through the media. It was a high risk, biotech stock that ZARSKY had a sizeable position in - over \$100,000. ZARSKY viewed himself to be a more speculative trader, with short term holdings. ZARSKY had friends who either had positions in INNATE and/or researched the company.

INNATE had a clinical trial underway for a Multiple Sclerosis (MS) treatment, the results of which were to be released any day. ZARSKY eventually sold all of his position, in INNATE, prior to the results of the trial, since he could not afford to lose his money. ZARSKY initially felt that the MS drug treatment would work, but eventually succumbed to his fear of losing his money. The entire position was funded through ZARSKY's retirement (401K) account.

ZARSKY's brokerage account was with Fidelity and he mainly used the Fidelity smartphone App, online trading and customer service to place orders. ZARSKY was the only one with access to his Fidelity account, via his phone app or web log-in.

ZARSKY liked mostly what he heard about INNATE and the marketing material was appealing, but in the end, ZARSKY did not have the appetite for the risk involved. ZARSKY recalled the announcement for the results of the clinical trials were not good, and he was happy to be out (of INNATE). ZARSKY's friends had warned him that biotech companies are too risky and that 90% result in bankruptcy. ZARSKY had previously invested in pharmaceutical stocks, but never biotech stocks. ZARSKY had also invested in "blue chip" stocks. ZARSKY had no additional information, prior to selling, and his decision was based on his (lack of) risk tolerance. ZARSKY sold all of his shares of INNATE, through Fidelity.com.

Investigation on 04/25/2018 at Summit, New Jersey, United States (In Person)

File # [REDACTED] Date drafted 04/30/2018

by Bempsey G. Co, MC LAUGHLIN KEITH JOHN

Continuation of FD-302 of (U) Interview of Stephen Zarsky

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ZARSKY's wife, DOROTHY, also had a small position in INNATE. DOROTHY learned about INNATE, through him (ZARSKY). ZARSKY and his wife decided to sell, when the risk became too great. ZARSKY stated that no one else in the family invested in INNATE. ZARSKY then recalled that his brother, also invested in INNATE. ZARSKY's brother learned about INNATE through him. ZARSKY would later talk his brother into selling all of his position. ZARSKY recalled that he told his brother and sister, before he sold. ZARSKY reconfirmed that no one else in his family had a position in INNATE.

ZARSKY's position in INNATE was very risky, however he (ZARSKY) had a friend (UNSUB), from Connecticut, who had made a lot of money from the stock market, recommend INNATE. ZARSKY's maximum positions are usually \$40,000 to \$50,000, with an average hold time of three (3) months - however he (ZARSKY) may go in and out of the stock. ZARSKY confirmed the INNATE trade was much larger than usual.

ZARSKY had been retired for about a year and is on disability. ZARSKY has a small pension with MetLife and his wife works for AT&T. ZARSKY did not understand the mechanism of trading stocks on the Australian Stock Exchange versus the Over-the-Counter (OTC) market. ZARSKY was aware that stocks can be halted for specific reasons, however he (ZARSKY) did not recall much about the trading halt on INNATE, shortly after he sold all of his shares.

ZARSKY did not recall a visit from his daughter, LAUREN ZARSKY, and her "boyfriend", CAMERON COLLINS (CAMERON), on the evening of June 22nd, 2017.

After agents mentioned LAUREN ZARSKY's visit on the evening of June 22nd, 2017, ZARSKY believed his daughter, held shares of INNATE, but can't recall if he told her about the stock. ZARSKY did not want to continue the discussion of his daughter and INNATE.

ZARSKY had no information on how LAUREN paid for her stock purchases or what she owned. ZARSKY had no access to LAUREN's brokerage account. LAUREN is an accountant at PricewaterhouseCoopers (PWC) and CAMERON is an electric engineer at AT&T. ZARSKY now stated that CAMERON also invested in INNATE. ZARSKY knew that CAMERON's father, CHRISTOPHER COLLINS, is a congressman for New York. ZARSKY met CHRISTOPHER COLLINS once and knew he owned shares of INNATE. ZARSKY never spoke to CHRISTOPHER COLLINS about INNATE. ZARSKY had conversations with CAMERON about INNATE, and CAMERON would provide his feedback. ZARSKY stated that CAMERON owned shares of INNATE years before he (ZARSKY) decided to invest in INNATE himself or even discuss INNATE with CAMERON.

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ZARSKY knew CHRISTOPHER COLLINS was involved with INNATE, from a Google search. ZARSKY stated that he was aware that CHRISTOPHER COLLINS owned shares of INNATE. ZARSKY was not aware of what CHRISTOPHER COLLINS' involvement, if any, was with INNATE, nor if he had ownership interest in INNATE. ZARSKY had no business relationships or dealings with CHRISTOPHER COLLINS. ZARSKY simply knew CHRISTOPHER COLLINS as the father of LAUREN's boyfriend. LAUREN and CAMERON COLLINS had been together for approximately three (3) years, after meeting at Villanova University.

ZARSKY thinks that LAUREN and CAMERON sold their shares of INNATE around the same time he (ZARSKY) did, however he did not know when they actually sold it - or even if they did. ZARSKY was not aware if CHRISTOPHER COLLINS sold his INNATE shares or if he still owned them.

ZARSKY kept following INNATE, through news and research. ZARSKY watched /listened to interviews of INNATE's Chief Executive Officer (CEO), however ZARSKY grew to dislike the direction of the company, information he (ZARSKY) had heard and a general distrust of the CEO.

ZARSKY had trepidation prior to selling all of his shares of INNATE and instructed writer, several times, to memorialize that he sold all of his shares of INNATE on his (ZARSKY) own volition. ZARSKY stated that he was either going to be a Millionaire or be "broke" (ZARSKY clarified that "broke" was an exaggeration).

ZARSKY thought LAUREN and CAMERON would hold their position in INNATE, but he (ZARSKY) also knew they (LAUREN and CAMERON) were interested in purchasing a home and did not want to take the risk.

ZARSKY knew the stock (INNATE) "tanked", after the clinical trial results were announced, however he did not know by how much. ZARSKY knew the clinical trial announcement was imminent, but he (ZARSKY) had no knowledge of when it would happen.

ZARSKY initially disagreed with writer's description, that his wife, DOROTHY, had "desperately" tried to unload her shares of INNATE, on the evening of June 22nd, 2017 - after LAUREN and CAMERON's visit, but did not dispute the description when told of the details of her attempts.

ZARSKY mentioned that, due to recent current events, the Federal Bureau of Investigation, cannot be trusted these days.

ZARSKY was not provided with any "insider" information, prior to selling all of his shares in INNATE. ZARSKY stated that he never spoke to anyone about the clinical trial results, prior to the announcement.

[REDACTED]

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ZARSKY recalled that he did not discuss INNATE with LAUREN and CAMERON, when they visited his wife and him (ZARSKY) at their home, the evening of June 22nd, 2017.

ZARSKY ended the interview and asked agents to leave his home, after being confronted with inconsistencies and overall logic in his story.

ZARSKY was then served with a Federal Search and Seizure Warrant and a Federal Grand Jury Subpoena, for documents.



FEDERAL BUREAU OF INVESTIGATION

Date of entry 05/02/2018

LAUREN ZARSKY, date of birth [REDACTED] social security number [REDACTED]
[REDACTED] home address [REDACTED]
[REDACTED] cellular telephone number [REDACTED] was interviewed at her residence. After being advised of the identities of the interviewing Agents and the nature of the interview, ZARSKY voluntarily provided the following information:

ZARSKY's fiancé was CAMERON COLLINS. ZARSKY was aware that COLLINS and members of his family invested in INNATE IMMUNOTHERAPEUTICS (INNATE). ZARSKY thought INNATE was possibly a treatment for one of the phases of Multiple Sclerosis. ZARSKY believed the COLLINS family had been involved with INNATE for approximately ten years, and ZARSKY heard the COLLINS family discuss INNATE over family dinners. ZARSKY believed she learned about COLLINS' investment in INNATE approximately five years ago, or a couple years after she and COLLINS began dating. COLLINS and ZARSKY began dating while both were students at VILLANOVA.

At some point, ZARSKY owned INNATE stock, which she purchased through FIDELITY. ZARSKY thought she possibly held the stock for approximately one week or one month. ZARSKY invested in INNATE because there was "a lot of talk about it" during dinners with the COLLINS family.

ZARSKY purchased INNATE stock with her savings, which she had accumulated from her salary and kept in a Bank of America account. ZARSKY was currently on sabbatical from her job at PricewaterhouseCoopers, where she was an accountant.

ZARSKY believed she could access FIDELITY online but had to call to purchase the INNATE stock because it was on an Over The Counter (OTC) market. ZARSKY believed she had to call FIDELITY to make any significant transactions, and someone else could not call on her behalf because the person calling had to provide personal information to discuss a FIDELITY account. ZARSKY believed she likely needed a username and password to log into the account.

ZARSKY knew INNATE was available for sale on two markets: OTC and another market. ZARSKY recalled that INNATE had two different tickers that could

Investigation on 04/25/2018 at Morristown, New Jersey, United States (In Person)

File # [REDACTED] Date drafted 04/26/2018

by BERESFORD MELISSA, GARDOCKI MARY E

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both be purchased through FIDELITY. INNATE was an Australian Company, and ZARSKY thought a company purchased and resold the Australian INNATE stock. The company was in the business of purchasing stock and placing it for sale. ZARSKY did not know details and could not recall which version she purchased; however, ZARSKY thought she possibly purchased on the OTC market. ZARSKY understood OTC to be a way in which trading was conducted.

ZARSKY believed trading on the Australian Stock Exchange (ASX) was complicated, and ZARSKY did not think she had traded on the ASX except possibly with INNATE.

ZARSKY was nervous to purchase INNATE stock because ZARSKY was not the person close to the company. ZARSKY's purchase and sale were based on emotion. ZARSKY was first excited to purchase INNATE stock, but ZARSKY became spooked and sold her (ZARSKY's) INNATE stock.

ZARSKY recalled some announcements about the drug but did not recall which announcement was made by the FDA. ZARSKY knew there was some type of activity relating to the ASX but could not recall details. ZARSKY thought the activity was possibly that INNATE could no longer be sold on the ASX.

ZARSKY became nervous because the Australian market "halted something." ZARSKY guessed that a trading halt meant that a stock could not be traded in certain markets.

ZARSKY recalled an announcement made after the clinical trial saying that the drug did not work. However, ZARSKY sold her INNATE shares before ZARSKY knew about the announcement that the drug did not work. Nobody talked to ZARSKY about selling her INNATE stock before ZARSKY ultimately sold her INNATE stock.

ZARSKY thought the sale of her INNATE stock was neutral; she did not recall making or losing a significant amount of money on the sale. ZARSKY stopped using her FIDELITY account.

Although ZARSKY was a Certified Public Accountant (CPA), ZARSKY thought she would probably consult someone before making significant financial decisions. However, ZARSKY did not consult anyone before purchasing or selling INNATE stock because she thought the amount was "very small." However, ZARSKY later said she thought she invested a "decent amount of money," or approximately \$15,000 to \$25,000. An amount of \$15,000 to \$25,000 was a significant amount of money to ZARSKY, and ZARSKY did not want to lose the money because she had worked hard to accumulate it.

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ZARSKY did not know how often COLLINS spoke with his father, but ZARSKY knew they sometimes spoke. ZARSKY did not know whether COLLINS traded stock, nor did ZARSKY know whether COLLINS still owned INNATE stock.

ZARSKY went to her parents' home often but could not recall any specific instances around the time of the INNATE stock sale. ZARSKY probably told her parents that she purchased INNATE stock, but ZARSKY did not know whether her parents purchased INNATE stock. If her parents did purchase INNATE stock, ZARSKY did not think they still owned any INNATE stock.

ZARSKY had always used her family's accountant to do her taxes. The accountant was a male individual that ZARSKY believed was located in New Providence, New Jersey. ZARSKY did not talk to the accountant regarding buying or selling her INNATE stock.

The password for ZARSKY's Apple watch was [REDACTED]



FEDERAL BUREAU OF INVESTIGATION

Date of entry 05/02/2018

DOROTHY ZARSKY (DOROTHY), date of birth (DOB): [REDACTED]
 place of birth (POB): [REDACTED] address: [REDACTED]
 [REDACTED] telephone: [REDACTED] was interviewed at her residence. The interview began at approximately 6:00am and ended at approximately 7:30am. After being advised of the identities of the interviewing Agents, DOROTHY provided the following information:

DOROTHY was employed as a technical manager with AT&T in Middletown, NJ. She had been with AT&T for 45 years. DOROTHY had a FIDELITY INVESTMENTS (FIDELITY) account for approximately 30 or 40 years. Within that account was a retirement account and a trading account. She had an online account using a FIDELITY username and password that only she knew and also had the ability to call to FIDELITY to conduct transactions. Within the trading account, she held approximately ten different company stocks that she traded. DOROTHY was pretty risk averse as she had bought and lost on stocks in the past. If she heard news about the company from others, DOROTHY would move in and out of certain stocks. DOROTHY said most of her trading activity was performed online using her work laptop, which only she has access to.

DOROTHY learned of INNATE IMMUNOTHERAPEUTICS (INNATE) approximately a year and a half ago through her daughter, LAUREN ZARSKY (LAUREN) or LAUREN'S boyfriend, CAMERON COLLINS (CAMERON). CAMERON and LAUREN later became engaged to be married. CAMERON told DOROTHY he initially invested in INNATE because he thought the company was going to have a breakthrough. STEPHEN ZARSKY (STEPHEN), DOROTHY'S husband, bought INNATE stock a while before she did and she had heard CAMERON and STEPHEN talking about it in the past. CAMERON was an engineer, so his demeanor generally did not change and did not change when he specifically spoke of INNATE. CAMERON told DOROTHY that it was up to her whether or not she wanted to invest in INNATE. It was not uncommon for her and CAMERON to talk about technology stocks and TESLA. DOROTHY invested approximately \$50,000 to \$100,000 in INNATE last year. At first, DOROTHY thought she may have invested in INNATE through her BANK OF AMERICA (BOA) brokerage account, however, she later recalled that the investment may have been through her FIDELITY account. DOROTHY explained that a friend of the family was diagnosed with multiple sclerosis, which made her interested in the fact

Investigation on 04/25/2018 at Summit, New Jersey, United States (In Person)

File # [REDACTED] Date drafted 04/30/2018

by CACIOPPO CARMEN ANTHONY, LIRO JON JOSEPH

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that INNATE was developing a drug that may have been a cure for the disease.

DOROTHY recalled getting an alert related to INNATE in regards to a FEDERAL DRUG ADMINISTRATION announcement. DOROTHY interpreted the news to be positive, however, she only purchased the stock once last year and did not purchase again in relation to the announcement. DOROTHY was unaware of a trading halt on the INNATE stock. DOROTHY thought she sold her INNATE stocks around the fall of 2017. She was nervous about the investment and decided to sell. She said she may have done it online, through the broker on the telephone, or both.

DOROTHY was asked by the interviewing agents to recall a visit from CAMERON and LAUREN on June 22, 2017. DOROTHY remembered the visit. CAMERON and LAUREN were having dinner or were at a mall in the area and they visited the ZARSKY residence. DOROTHY typically sees LAUREN and CAMERON on a weekly basis. During the visit, CAMERON and LAUREN told her she may not want to keep the INNATE stocks she purchased anymore because they did not think the company was going to happen. Once CAMERON said he was getting out of the investment, DOROTHY decided to do the same. Since CAMERON initially told her about the investment, he thought she should know he was selling. DOROTHY acknowledged that CAMERON probably received information in regards to INNATE from his father, CHRIS COLLINS (CHRIS). CHRIS was somehow invested in INNATE. When DOROTHY made the call to FIDELITY to sell the INNATE stocks that evening, the individuals that were with her included CAMERON, LAUREN and STEPHEN. DOROTHY did whatever the FIDELITY representative suggested when selling INNATE. DOROTHY did not share the information provided to her by CAMERON with anyone else. However, STEPHEN told a bunch of people.

DOROTHY acknowledged that CAMERON may have come over to her residence the next day, June 23, 2017, however, she could not recall specifically. She said CAMERON and LAUREN often dropped their dog off. After that, she probably saw CAMERON and LAUREN the next week when they went to Florida for the July 4th weekend.

DOROTHY did not believe that LAUREN owned shares of INNATE because she was not interested in the investment and also because the investment was speculative. She was employed by PWC and had to be careful with her investments. Both of ZARSKY'S children, including LAUREN, had trading accounts set up in their names from when they were children. The accounts were with BOA and were set up to address interest issues. Once LAUREN graduated from VILLANOVA, DOROTHY transferred the funds in LAUREN'S account to her own. DOROTHY did not know if LAUREN also had a FIDELITY account or if she owned shares in INNATE.

[REDACTED]

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CAMERON was a smart kid. CAMERON and CHRIS, his father, were involved in business together as DOROTHY observed CAMERON taking business calls from his father in the past. She acknowledged that CHRIS probably gave CAMERON information in regards to INNATE. CAMERON could have talked to CHRIS about INNATE and then passed information along to her. She took CAMERON'S advice and sold the INNATE stock.

DOROTHY was then informed by the interviewing Agents that CHRIS was a board member of INNATE. She was previously unaware of his role at INNATE. DOROTHY acknowledged that as a board member of INNATE, CHRIS possibly could have had insight about the company.

DOROTHY had only met CHRIS and his wife, [REDACTED], a couple of times. LAUREN and CAMERON both went to VILLANOVA, so the parents of each met there at graduation and then again after they got engaged. DOROTHY never discussed INNATE with CHRIS.